



**Attn: Trading and Market Making/Legal and Compliance/Operations/Systems
UNIFORM PRACTICE ADVISORY (UPC #42-23) 10/02/2023 Surgalign
Holdings, Inc (SRGAQ)**

Notice has been received that the above Company's Joint Chapter 11 Plan became effective on 10/02/2023. On the Effective Date, Each Parent Interest shall be deemed automatically cancelled, released, and extinguished without further action by the Debtors. See the Company's Joint Chapter 11 Plan for more details.¹

Members are reminded of their obligations under FINRA Rule 2111 if they continue to engage in transactions in the above security after the effective date.

Pursuant to FINRA Rule 11530, members are advised that, among other things, in contracts for securities where a public announcement or publication of general circulation discloses that the securities have been deemed worthless, deliveries shall consist of a) the worthless securities or; or b) a Letter of Indemnity which shall grant the purchaser any rights and privileges which might accrue to the holders of the physical securities. Such deliveries shall operate to close-out the contract and shall be settled at the existing contract price pursuant to FINRA Rule 11530.

Questions regarding this notice should be directed to: FINRA Operations- 1-866-776-0800.

¹ See *e.g.*, In re: Surgalign Holdings, Inc, *et al.*, Debtors. Chapter 11 Case No. 23-90731 (CML) (Jointly Administered) Combined Disclosure Statement And Joint Chapter 11 Plan of Surgalign Holdings, Inc And Its Affiliated Debtors.